



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/400,447

09/21/99

BASTIEN

J

1581.0440001

0242/1007

STERNE KESSLER GOLDSTEIN & FOX  
SUITE 600

1100 NEW YORK AVENUE N W  
WASHINGTON DC 20005-3934



NOT ASSIGNED

2766

DATE MAILED: 10/7/99

10/07/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a  
☐ small entity (statement filed) ☒ non-small entity is \$ 2014.00

☒ 1. The statutory basic filing fee is:

- ☒ missing.  
☐ insufficient.

Applicant must submit \$ 760.00 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☒ 2. The following additional claims fees are due:

\$ 630.00 for 35 total claims over 20.  
\$ 234.00 for 3 independent claims over 3.  
\$ 260.00 for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Donalpe Bell

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

04/17/2000 CUDRACHA 00000098 190036 094000447  
01 C:105 130.00 DP  
02 C:103 342.00 DP  
03 C:102 234.00 DP  
04 C:101 690.00 DP  
70.00 CH



STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

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\*\*REGISTERED PATENT AGENTS

April 14, 2000

WRITER'S DIRECT NUMBER:  
(202) 371-2569

INTERNET ADDRESS:  
MRAY@SKGF.COM

Assistant Commissioner for Patents  
Washington, D.C. 20231

Box Missing Parts

Re: U.S. Patent Application  
Appl. No. 09/400,447; Filed: September 21, 1999  
For: **Broadcast And Reception System, And Receiver/Decoder And Remote  
Controller Therefor**  
Inventors: BASTIEN *et al.*  
Our Ref: 1581.0440001

Sir:

In reply to the "Notice to File Missing Parts of Application--Filing Date Granted," dated October 7, 1999, Applicants submit the following documents for appropriate action by the U.S. Patent and Trademark Office:

1. A Petition for Extension of Time under 37 C.F.R. § 1.136 (in duplicate);
2. PTO Fee Transmittal Form PTO/SB/17 (in duplicate);
3. A copy of the Notice to File Missing Parts;
4. An original executed Combined Declaration and Power of Attorney, executed by the inventors;
5. A Second Preliminary Amendment;

Assistant Commissioner for Patents

April 14, 2000

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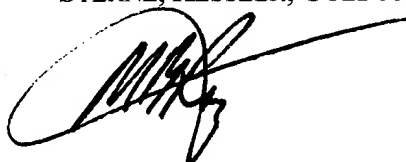
6. An Authorization To Treat A Reply As Incorporating An Extension Of Time Under 37 C.F.R. § 1.136(a)(3) (in duplicate);
7. A return postcard; and
8. Our Check No. 27253 for \$ 3,246.00 to cover:
  - \$ 690.00 Filing Fee for Patent Application (37 C.F.R. § 1.16);
  - \$ 576.00 Fee for excess claims (37 C.F.R. § 1.16);
  - \$ 130.00 Surcharge for late filing of Declaration (37 C.F.R. § 1.16); and
  - \$ 1,850.00 For extension of time fees under 37 C.F.R. § 1.136.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Michael B. Ray  
Attorney for Applicants  
Registration No. 33,997

**for FY 2000**

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO 28/09-42.  
See 37 C.F.R. §§ 1.27 and 1.28.

<b>TOTAL AMOUNT OF PAYMENT</b>	<b>(\$)</b> 3,246.00
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**Complete if Known**

<b>Application Number</b>	<b>09/400,447</b>
<b>Filing Date</b>	<b>September 21, 1999</b>
<b>First Named Inventor</b>	<b>BASTIEN <i>et al.</i></b>
<b>Examiner Name</b>	<b>(to be assigned)</b>
<b>Group / Art Unit</b>	<b>2766</b>
<b>Attorney Docket Number</b>	<b>1581.0440001</b>

**METHOD OF PAYMENT (check one)**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account	19-0036
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Deposit Account Name	Sterne, Kessler, Goldstein & Fox P.L.L.C.
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☐ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

2. ☒ Payment Enclosed: ☒ Check ☐ Money Order ☒ Other\*  
\*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

### FEE CALCULATION

### 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	690	201	345	Utility filing fee	<u>\$690.00</u>
106	310	206	155	Design filing fee	<u></u>
107	480	207	240	Plant filing fee	<u></u>
108	690	208	334	Reissue filing fee	<u></u>
114	150	214	75	Provisional filing fee	<u></u>
SUBTOTAL (1) (\$)					690.00

## 2. EXTRA CLAIM FEES

2. EXTRA CLAIM FEES		Extra	Fee from below	Fee Paid
Total Claims	<u>39</u> - 20** = <u>19</u>	X	<u>\$18.00</u>	= <u>\$342.00</u>
Indep. Claims	<u>6</u> - 3** = <u>3</u>	X	<u>\$78.00</u>	= <u>\$234.00</u>
Multiple Dependent			\$260.00	= \$0.00

**\*\* or number previously paid, if greater; For Reissues, see below**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	78	202	39	Independent claims in excess of 3
104	260	204	130	Multiple dependent claim
108	78	209	39	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)				(\$) 576.00

**FEE CALCULATION (continued)**

### 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	\$130
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	380	216	190	Extension for reply within second month	
117	870	217	435	Extension for reply within third month	
118	1,360	218	680	Extension for reply within fourth month	
128	1,850	228	925	Extension for reply within fifth month	\$1,850
119	300	219	150	Notice of Appeal	
120	300	220	150	Filing a brief in support of an appeal	
121	260	221	130	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,210	241	605	Petition to revive - unintentional	
142	1,210	242	605	Utility issue fee (or reissue)	
143	430	243	215	Design issue fee	
144	580	244	290	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	760	246	380	Filing a submission after final rejection (37 CFR 1.129(a))	
149	760	249	380	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify) :					
Other fee (specify) :					
Reduced by Basic Filing Fee Paid					
<b>SUBTOTAL (3)</b>					<b>(\$)</b>
					<b>1,980.00</b>

## SUBMITTED BY

Typed or Printed Name	Michael B. Ray Attorney for Applicants
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**Signature**

Date \_\_\_\_\_

4/14/00

**Complete (if applicable)**

<b>Req. Number</b>	<b>33,997</b>
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**Deposit Acct. User ID**

**WARNING:**

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.